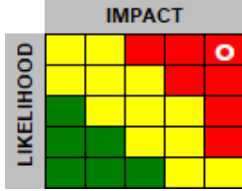
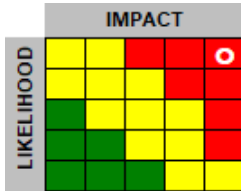
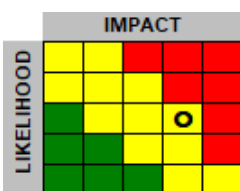


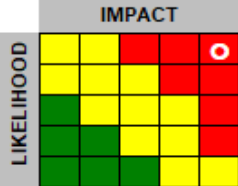
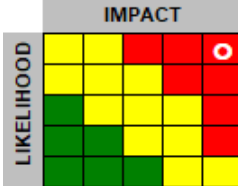
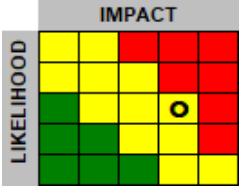
## Appendix A - Corporate Risk Register September 2024

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Dedicated Schools Grant High Needs Funding for Special Educational Needs is inadequate to meet requirements.</p>			
<p><b>Causes</b></p>	<ul style="list-style-type: none"> <li>High Needs budgets are under considerable pressure from increasing numbers of children being diagnosed with complex and life-long SEND related issues.</li> <li>National funding allocations are not increasing annually at a rate to reflect increases in local population demand and so any additional commissioned places need to be financed from within existing budget envelope.</li> <li>The number and value of requests from mainstream schools for "top-up" funding (for children with SEND) continues to increase year on year as schools face financial pressures to meet the first £6k of any SEN Support.</li> <li>Maintained special school provision is full and more children are being placed in independent provision which is more expensive. Whilst this issue is being addressed through extra In-house provision, there remain risks that external placements may continue at high additional cost.</li> <li>Central Government have advocated parental preference for SEND provision - which has added to the number of children being placed in independent provision - with no additional funding.</li> <li>The current accounting override whereby the HNF deficit is ringfenced will continue until April 2026, but the increasing accumulative deficit poses a significant financial risk to the council.</li> </ul>		
<p><b>Result</b></p>	<ul style="list-style-type: none"> <li>Sefton's High Needs cumulative budget deficit is £35m at the end of 23/24.</li> <li>The estimated deficit on the high needs block continues to be held on the Council's Balance Sheet. Whilst the current DfE regulations do not expect the Local Authority's General Fund to cover accumulated deficits, this is still only on a temporary basis until 2026. The council does not have the reserves or balances to meet this deficit if required in 2026 hence the threat to financial sustainability.</li> <li>This is a significant risk to the council and quarterly monitoring statements will continue to be reported to cabinet and council.</li> </ul>		
<p><b>Current treatment and controls</b></p>	<ul style="list-style-type: none"> <li>Reporting to Cabinet and Council should focus on the work program that seeks to improve the support to children, the demand for the service and the financial forecast- it should also take full account of the progress in the DFEE led Delivering Better Value Programme.</li> <li>Leadership from Sefton's Executive Director of Children's Social Care and Education, Assistant Head of Education and the SEN team Managers on how costs can be contained.</li> <li>Sufficiency statement produced that will drive future strategy and financial sustainability.</li> <li>Lobbying and engagement of both DfE and MCCLG on financial impact and the need for increased support or confirmation that this will continue to be a DSG issue post 2026</li> <li>Engagement with special schools actively working with individual schools to review impact of any proposed changes to their funding, reviewing three-year financial plans, identifying any strategic savings to mitigate high calls on DSG High Needs funding.</li> <li>Review of place and top up levels of funding.</li> </ul>		

## Appendix A - Corporate Risk Register September 2024

	<ul style="list-style-type: none"> <li>• In addition, further work is being undertaken on alleviating the barriers to inclusivity within mainstream settings and assessment of effectiveness of capital spend to maximise mainstream settings for children and young people.</li> <li>• Council now part of DfE Delivering Better Value Program-it should be noted however that this is focused on the system and not on delivering financial sustainability therefore the council cannot rely on this programme to meet its key financial objective</li> <li>• Comprehensive quarterly reports to be presented to Cabinet and Council on sufficiency, in house provision, funding and deficit to provide rigor, transparency and inform decision making</li> <li>• As part of the Council's transformation programme SEND is a specific transformation project and reflects the 3 key areas of activity each of which will support the service</li> <li>• As part of the annual audit plan a review of the systems and processes within this function has been undertaken to ensure that the overall environment is robust, supports effective decision making and the use of resources- this report will be issued in Q2 of 24/25.</li> </ul>
<p><b>Risk owner</b></p>	<p>Assistant Director of Education</p>
<p><b>Proposed actions</b></p>	<ul style="list-style-type: none"> <li>• Through the High Needs Review the LA has been working on two specific workstreams with School representatives working on a number of key areas:</li> <li>• Developing a new funding model to support children with EHCPs.</li> <li>• Clarifying high needs funding outside of the EHCP process.</li> <li>• Reviewing provision and placement sufficiency.</li> <li>• Considering new ways of working with SEN children in schools, making them more cost effective and with good outcomes.</li> <li>• Review of the graduated response and supporting SEN leadership in schools.</li> <li>• Sefton has been working in partnership with the DfE since December 2022 to develop solutions to bring the High Needs Budget into a more financially secure position going forward and help to reduce the accumulated deficit over a set period.</li> <li>• The sign off of the High Needs Deficit action plan through the Delivering Better Value Programme was conducted in summer 2023 with a work programme of planned improvements and changes in SEN support for HN children commencing from September 2023.</li> </ul>

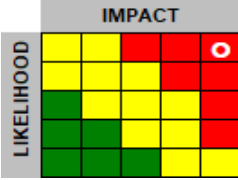
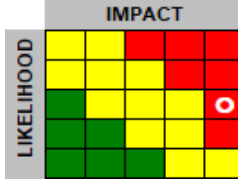
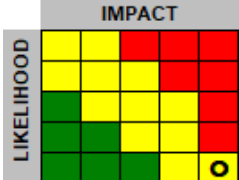
## Appendix A - Corporate Risk Register September 2024

Risk Description	Previous risk score	Current risk score	Target risk score
Financial sustainability beyond 2023/24.			
<b>Causes</b>	<ul style="list-style-type: none"> <li>The national economy, taking into account inflation and direct government funding which has been reflected in the financial settlement for 2024/25 and planning assumptions for future years and the demand for services will place substantial strain on the Council's overall medium-term budget.</li> <li>As a result, significant budget and cost reductions will be required. Due to the scale of budget reductions made since 2010 there is a risk that further suitable cost-saving / income generating measures will be difficult to identify.</li> <li>The impact on the financial sustainability of the Council is therefore a key risk.</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>The Council will need to identify substantial sustainable savings to meet the funding gap that arises from inflation, potential government grant reductions and increased demand for services.</li> <li>The Budget reductions could have an adverse impact on residents and communities.</li> <li>The reputation of the Council may be compromised.</li> <li>Financial sustainability could be compromised.</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>The Council set a budget for 2024/25 at its meeting on 29 February 2024. Substantial investment has been made into ASC, CSC and Home to School Transport as part of this and this is where the financial risk exists- robust financial management and monitoring will be required for the delivery of the budget within this approved budget. If there are any variations to the approved budget remedial plans will need to be put in place. The Council does have an appropriate level of general fund reserves however these do not offer the scope to address a budget gap similar to that experienced in 22/23 or 23/24, indeed there is no scope to support an overspend from reserves at all.</li> <li>Within that budget report the key issues that need to be addressed within the next MTFP have been identified and work has started on the next 3-year budget plan. This includes refining all budget assumptions and updating the potential budget gap for these next 3 years- this will be reported in a revised MTFP that will be submitted to Cabinet and Council in September- the council has a new transformation programme that has been established and this is the delivery vehicle for the MTFP with the stated aim of helping delivering financial sustainability. This is key to the financial sustainability of the Council with the key risks remaining in Adult Social Care and Children's Services- these have been mitigated for in 24/25 by all budget assumptions having been agreed with the DASS and DCS but that risk remains.</li> </ul>		
<b>Risk owner</b>	ED CS & C		


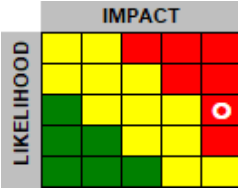
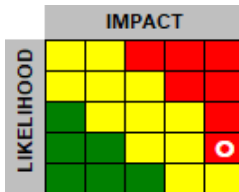
## Appendix A - Corporate Risk Register September 2024

<b>Proposed actions</b>	<ul style="list-style-type: none"><li>• Key financial risk for 2024/25 is delivery of savings within Adult Social Care and Children's Social Care delivering services within the budget agreed with DCS - regular and rigorous financial management, monitoring and reporting is required by SLB.</li><li>• SLB will commence work on the 3-year budget plan for 2025/26 to 2027/28 and an updated MTFP will be presented to Cabinet in September 2024.</li></ul>
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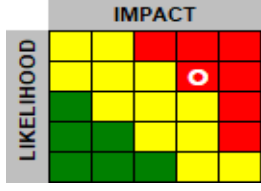
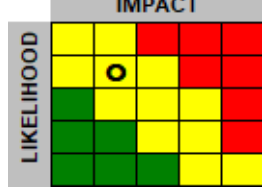
## Appendix A - Corporate Risk Register September 2024

Risk Description	Previous risk score	Current risk score	Target risk score
The Council is the victim of a cyber-attack.			
<b>Causes</b>	<ul style="list-style-type: none"> <li>Malware, ransomware, or another virus infects the Council's systems.</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>Services will not have access to systems and data as standard and will have to fall back on non-ICT delivery methods, albeit without access to key data.</li> <li>Data breach occurs.</li> <li>Financial impact of ransom.</li> <li>Reputational damage</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>Cyberattack prevention measures are in place, including: <ul style="list-style-type: none"> <li>Upgraded Council firewalls and active SIEM monitoring service.</li> <li>Anti malware tools</li> <li>Acceptable use policy updated annually</li> <li>LGA Stocktake completed/Cyber 360 completed</li> <li>PSN Accreditation achieved and reviewed annually</li> <li>New security standards for email encryption implemented</li> <li>Further network security in place to reduce risk</li> </ul> </li> <li>Back-up disaster recovery facility is in place at a separate site, for both cloud based and on premises systems.</li> <li>Agilisys has a Business Continuity-Disaster Recovery plan in place which covers an action plan for this priority restoration, and the subsequent restoration of all other systems.</li> <li>Ongoing monitoring in in place via ICT governance arrangements.</li> <li>Anti-virus and Malware software is constantly updated across the estate.</li> <li>Communication to employees regarding the rise in cyber-attacks is in place, with an enhanced training offer in place.</li> <li>Review of Cyber Incident planning completed and revised policy released.</li> <li>Removal of unsupported systems from the network and segregation in place as required.</li> </ul>		
<b>Risk owner</b>	ED CR&CS		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>The ongoing ICT Transformation programme has seen the majority of systems and data migrated to Microsoft Azure cloud hosting, which will reduce the overall risk; and improve Business continuity however further work is underway to improve the current security posture further.</li> <li>Ongoing Cyber Security Improvement plan in place.</li> <li>External validation and assurance ongoing linked to improvement plan.</li> </ul>		

## Appendix A - Corporate Risk Register September 2024

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Inadequate capability to prepare for and respond effectively to a major incident affecting the Council or occurring in Sefton as per the Council's responsibilities under the Civil Contingencies Act 2004.</p>			
<b>Causes</b>	<ul style="list-style-type: none"> <li>A major incident occurs affecting the Council or the Borough</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>Loss of human life, illness, or serious injury</li> <li>Major damage or destruction to infrastructure, property and/or the environment</li> <li>Disruption or loss of critical services such as transport, communications, utility services</li> <li>Reputational or financial harm to the authority</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>Emergency Response Manual and Major Incident Guidance in place.</li> <li>Revised Command and Control structure in place which defines Strategic and Tactical level officers.</li> <li>Emergency Duty Co-ordinators (EDCs) are able to access Resilience Direct containing incident response plans.</li> <li>Relevant training provided to Emergency Duty Co-ordinators and volunteers on an ongoing basis.</li> <li>Five EDCs have now completed Multi Agency Gold Incident Commander (MAGIC) accredited training.</li> <li>Attendance and participation in Merseyside Resilience Forum and joint planning across Merseyside.</li> <li>Humanitarian volunteers in place and regular meetings and training now offered.</li> <li>Continuous development and review of supporting plans.</li> <li>Service Level Business Continuity plans now completed. Business Continuity eLearning package available to all staff</li> <li>Business Continuity risk register completed and review on quarterly basis</li> <li>Business Continuity Policy and strategy have been devised and approved.</li> <li>BC exercises completed in January 2023 and March 2024 for Senior Leadership Board</li> <li>Corporate BC plan drafted and endorsed by ELT in January 2024</li> </ul>		
<b>Risk owner</b>	CEX/ED CS&C		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>A Business Continuity Management System has been devised and is currently being implemented. This includes the following:</li> <li>Six monthly review of BC plans and activation exercise undertaken to confirm accuracy of contact details included.</li> <li>External provider to continually provide support in hosting regular BC exercises for all Exec/Assistant Directors.</li> <li>Review and update of BC manual ongoing</li> </ul>		

## Appendix A - Corporate Risk Register September 2024

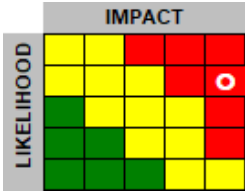
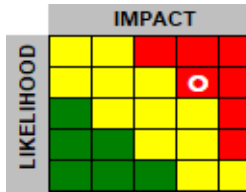
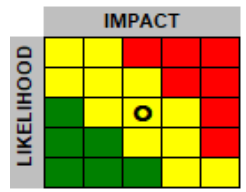
Risk Description	Previous risk score	Current risk score	Target risk score
Market Failure of Social Care Provision across Adults and Children's			
<b>Causes</b>	<ul style="list-style-type: none"> <li>• <b>Workforce</b> - Capability and capacity of the available workforce to provide domiciliary care and within the care home market</li> <li>• <b>Strategic</b> - Lack of diversity of supply in the market to provide choice and control. COVID legacy effect on Market.</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>• <b>Legal</b> - Inability to provide packages of care for service users and fulfil statutory duty of care and sufficiency duty.</li> <li>• <b>Strategic</b> - Lack of alternative providers able to support social care. Increase in placing young people within Borough, by other LAs placing additional pressure on ASC markets linked to transitions</li> <li>• <b>Operational and Financial</b> - Poor quality service provision and high costs. Significant increase in unmet needs of service users due to a fragile market that is not developing Strategy</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• <b>Strategic</b> - Market Position Statement and refresh of Children's Sufficiency strategy 22-25 allows market management. Strengthen governance via actions and oversight of Executive Commissioning Group/Strategic Commissioning Group. Strategic Commissioning Team more permanent capacity to increase resource. Implementation of Commissioning priorities improvement plan. Delivery of Health and Wellbeing Strategy 2020-2025. Implementation of robust and timely Winter Planning/checklist. Regular review of supply chain contracts. Demand Management Programme embedded in adults and children's. Mitigation of market failure by block purchasing arrangements to support hospital discharge. CQC Assurance preparation. Provider Failure Policy updated, regular Cost of Care exercises and Market Engagement Strategies in production to focus on relationship-based market management.</li> <li>• <b>Operational</b> - Recommissioning of Local Dynamic Purchasing system for Domiciliary Care. Weekly escalation/ visibility of capacity and costs with AD, DASS and wider system. Maximising learning opportunities across C&amp;M DASS group with key areas of focus</li> </ul>		
<b>Risk owner</b>	DCS/DASCH		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• <b>Operational</b> - Strengthened oversight of Quality Assurance (QA) with dedicated Senior Manager support will add the ability to refocus QA resources on identified areas of Market Risk.</li> <li>• <b>Strategic</b> - Continue to focus on strategic plans to current contracts to ensure Value for Money and objectives are met. Gather intelligence to inform risks and ensure resilience and capacity. Development of new opportunities through Sefton Place Based Partnership development. Children's High Risk/High-Cost Project, Commissioning priorities and full work plan. Recruitment campaign developed with Market with ongoing input from Sefton at Work - Workforce Strategy now developed, and subsequent Market Sustainability Plan roll out 2023/24. Work includes use of International Recruitment funding to be allocated to Providers. Links maintained with LCR on key market risks (capacity, workforce,</li> </ul>		

## Appendix A - Corporate Risk Register September 2024


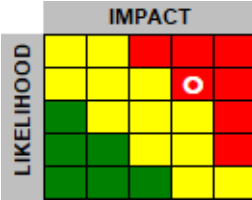
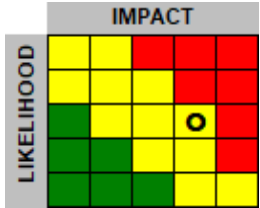
	<p>cost of living, ceasing of covid funding, demand). New Procurement for Domiciliary Care completed. Integrated commission arrangements will develop via new place arrangement. Market Sustainability Plan and Fair Cost of Care Exercise to be sent to Central Government mid Oct. National Government Market Sustainability funding applied to Dom Care and Care Homes 65+. Discharge funding now recurrent through the Better Care Fund. Work continues to mobilise a rapid reablement expansion. Linked to ND review. Work jointly with Health to develop approach to reduction of one-to-one requests. Cost of Care / fee setting work for 2024/25 is commencing, including Care Analytics being commissioned to support with 2024/25 fee setting work, including analysis of impacts of implementing RLW across all ASC sectors. SOP for fee setting in place. Presentation to A&amp;CG by DASS on risk 20 March 2024.</p>
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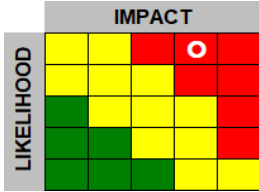
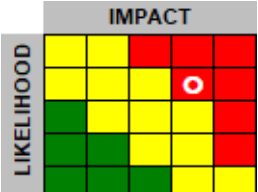
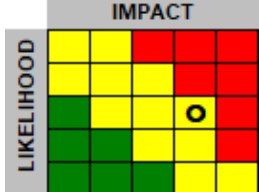
## Appendix A - Corporate Risk Register September 2024

Risk Description	Previous risk score	Current risk score	Target risk score
Demand and Cost of Home to School Transport, impact on the financial sustainability of the Council			
<b>Causes</b>	<p>Increasing expenditure is being driven by:</p> <ul style="list-style-type: none"> <li>• Rising number of children and young people with an Education Health and Care Plan</li> <li>• Rising number of children and young people whose needs are not met in local mainstream provision and placed in educational provision outside the local area</li> <li>• The rising cost of fuel and living</li> <li>• Driver and escort shortages, competing for spare resources.</li> <li>• Parental choice</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Supply unable to match demand.</li> <li>• Increased waiting times for service users, impact on school attendance</li> <li>• Financial and reputational risks, financial sustainability of Council could be compromised, Budget pressure cannot be contained.</li> <li>• Capacity of the workforce to meet this demand.</li> <li>• Potential for poor service delivery</li> <li>• Negative socio-economic impact.</li> <li>• High level of media and public interest in the Council's actions</li> <li>• Loss of reputation</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Report to Leadership Team and Cabinet</li> <li>• Engagement with SEND on how demand can be contained</li> <li>• Review of In-House Fleet and Post 16 charging policy</li> <li>• Monthly finance report</li> <li>• Ongoing review of all provision</li> <li>• Personal Travel Budgets</li> </ul>		
<b>Risk owner</b>	Assistant Director of Education		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Comprehensive review of the system has commenced in reviewing all commercial arrangements, key cost drivers and all decisions that impact cost. This is due to be completed in the next 6 months.</li> </ul>		

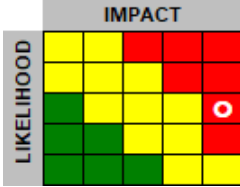
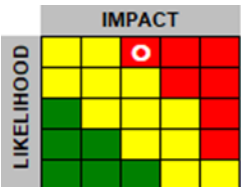
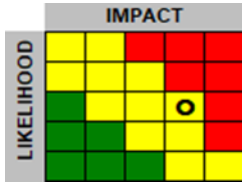
## Appendix A - Corporate Risk Register September 2024

Risk Description	Previous risk score	Current risk score	Target risk score
Children's Services - Impact of Regulatory Framework Outcomes			
<b>Causes</b>	<ul style="list-style-type: none"> <li>The Council's children's services are currently rated as inadequate. As a result, the council is currently delivering its improvement with the support of a commissioner and DfE advisor.</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>Social work practice does not meet the standard required</li> <li>Services are found to not adequately safeguard children</li> <li>Reputational damage to the Council and Statutory partners</li> <li>Loss of confidence in partnership arrangements</li> <li>Workforce and financial pressures develop</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>Improvement board established under DfE improvement notice</li> <li>DfE Advisor supporting Improvement Programme</li> <li>Regular reports to Overview &amp; Scrutiny Committee</li> <li>Self-evaluation has been refreshed and updated</li> <li>Comprehensive Performance dashboard developed based on required specification</li> <li>Quality Assurance Framework in place</li> <li>Practice Standards in place</li> <li>Triangulation of evidence through audit and peer review, regular auditing and monitoring of performance</li> <li>Workforce strategy in place and delivering skilled and stable workforce</li> <li>Financial plan in place based on DCS requirement</li> <li>Accommodation in place for consolidated service</li> </ul>		
<b>Risk owner</b>	DCS		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>Role of Improvement Board to provide oversight, guidance and support will continue and will meet bimonthly</li> <li>The council will continue to Progress the delivery of recommendations made by Children's Commissioner and the improvement plan</li> <li>Report progress and risks to Overview &amp; Scrutiny Committee each cycle, in addition to improvement Board</li> </ul>		

## Appendix A - Corporate Risk Register September 2024

Risk Description	Previous risk score	Current risk score	Target risk score
Increase in academisation of schools within the borough			
<b>Causes</b>	<ul style="list-style-type: none"> <li>• National Agenda</li> <li>• DfE sponsored academies for schools in a category.</li> <li>• Instability within LA</li> <li>• Liverpool Diocese supporting academisation</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Potential loss of SLA income which would may require service reductions in Education, corporate services and operational in-house services</li> <li>• Potential loss LA ability to monitor educational standards</li> <li>• Impact of timescales between notification of academy order and timing of Cabinet meetings</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• EE team continue to review offer</li> <li>• Engaging with academies to encourage purchase of SLAs</li> <li>• Promote "Sefton Family of Schools" image- working party established to support schools with decision making and to ensure compliance with academies act</li> <li>• Review of traded services offer to all schools and academies</li> <li>• Representation by Academy CEOs on School Improvement Board</li> <li>• Presentation of this risk to A&amp;G Committee for awareness raising</li> </ul>		
<b>Risk owner</b>	Exec Director CSC & EE		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Many of the decisions on academisation are out of council control</li> <li>• Individual service areas continue to make attractive and robust SLA offers</li> <li>• New AD to reconvene regular CEO meetings</li> </ul>		

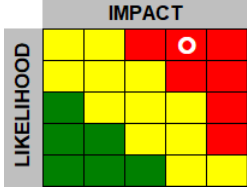
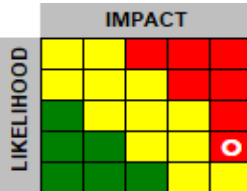
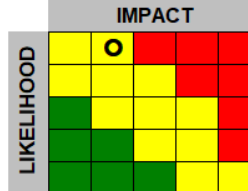
## Appendix A - Corporate Risk Register September 2024

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to Comply with Sections 1 and 10 of the Freedom of Information Act 2000</p>			
<p><b>Causes</b></p>	<ul style="list-style-type: none"> <li>• A person requesting information from a public authority has a right, subject to exemptions, to be informed by the public authority in writing whether it holds the information, and to have that communicated to him, if the public authority holds it (section 1 of The Freedom of Information Act 2000). Section 10(1) specifies that public authorities must respond to requests within 20 working days.</li> <li>• A public authority which fails to comply with any of the requirements of Part I of the FOIA, may be served with a notice by the Information Commissioner (referred to as an ‘enforcement notice’) requiring the authority ‘to take within such time as may be specified in the notice, such steps as may be so specified for complying with those requirements’ (section 52(1)).</li> <li>• Compliance performance levels differ across the Council, due to the demands on particular service areas. Consistency is required in terms of prioritising responses to FOIA requests so that the Council ensures it responds to requests in a timely way.</li> </ul>		
<p><b>Result</b></p>	<ul style="list-style-type: none"> <li>• Failure to comply with legal requirements; enforcement action by the Information Commissioner’s Office, damage to Council’s reputation; loss of public confidence, diversion of resource and financial consequences</li> </ul>		
<p><b>Current treatment and controls</b></p>	<ul style="list-style-type: none"> <li>• Information management and governance, including compliance with the Freedom of Information Act is overseen by the Information Management and Governance Executive Group (IMGEG), which consists of officers with lead responsibilities for key aspects of information compliance (i.e. Data Protection Officer/IG Lead, Senior Information Risk Owner and Chief Legal and Democratic Officer) supported by other officers with key roles relating to IMG.</li> <li>• Each service is responsible for the handling and management of FOIA requests made to their respective service area.</li> <li>• Each service has designated Information Asset Owners and Information Asset Administrators. Policies, procedures, processes and issues are communicated to these officers through the Information Management and Governance Operational Group.</li> <li>• Support, co-ordination, advice and guidance is provided corporately.</li> <li>• The Council has implemented policies, procedures and processes to assist the management of FOIA requests made to the Council.</li> </ul>		
<p><b>Risk owner</b></p>	<p>CEX</p>		

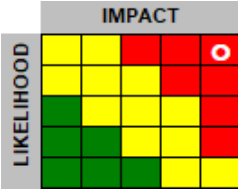
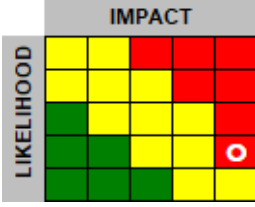
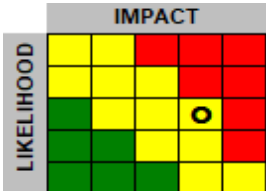
## Appendix A - Corporate Risk Register September 2024

<b>Proposed actions</b>	<ul style="list-style-type: none"><li>• SLB to continue to ensure appropriate resourcing, prioritisation and focus on information management and governance across the Council include the following:</li><li>• Monthly reports continue to be sent to Heads of Service with lists of any outstanding FOIA requests, to ensure appropriate action across their service.</li><li>• Monthly monitoring and review by IMG EG of compliance with statutory timescales associated with requests and numbers outstanding.</li><li>• Set targets to ensure compliance with ICO recommendations (95% or more of requests are responded to within 20 working days = good, 90 to 95% of requests are responded to within 20 working days = adequate, fewer than 90% = unsatisfactory).</li><li>• Regular reporting by IMG EG to SLB and Audit and Governance Committee, as necessary, as to the Council's compliance with the FOIA. Compliance statistics to be published on a monthly basis on the Council's website. Q1 statistics will be available at the end of June 2024.</li><li>• Maximise the opportunities from the Council's ICT Transformation to increase and embed effective information management and governance.</li></ul>
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## Appendix A - Corporate Risk Register September 2024

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Ability of the Council to recruit to its workforce in order to deliver its Core Purpose</p>			
<b>Causes</b>	<ul style="list-style-type: none"> <li>Due to the contraction of the labour market both nationally and locally the council cannot recruit sufficiently skilled staff in order to meet business need. At present this is especially acute within social work teams in both Adults and Children Services.</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>The Council does not have the capacity to deliver the services it needs to at the pace or standard required</li> <li>Due to the contraction in the market the council cannot recruit to key roles - over the past 12 months this has been evident in Social Care, Regeneration, Procurement, Performance, Property and Finance</li> <li>Such a scenario places increased pressure on the workforce that cannot be maintained over the long term</li> <li>In addition to the lack of candidates in the market seeking permanent employment and a reduction in availability of temporary or agency staff, the cost of bringing in temporary cover is increasing exponentially this creating budget pressure</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>The Council's approach to recruitment and retention has been and will continually be the subject of review. This is a key theme within the recently approved workforce strategy and action plan</li> <li>The Council is building on the success in some areas will seek to 'grow its own' workforce with the promotion of apprenticeships, the social worker academy and graduate programmes</li> <li>The Council will seek to continually enhance its culture in order that staff remain in Sefton</li> <li>The Council will work with Liverpool City Region Partners to recruit talent nationally and look at training and development programmes across the region that will be attractive to potential candidates</li> </ul>		
<b>Risk Owner</b>	ED CS&C		
<b>Proposed Actions</b>	<ul style="list-style-type: none"> <li>The action plan for the workforce strategy details the key activities that will be undertaken to maximise the council's position in the workforce market</li> <li>Extensive work has been undertaken within Children services over the last 18 months to ensure that a skilled and stable workforce can be recruited to and retained. This includes a full review of pay and benefits the development of the social worker academy and the recruitment of overseas social workers. this work will continue to support the service and similar activities and innovation will take place across the council</li> <li>Work has commenced with Liverpool John Moore's University to determine how pathways can be opened for graduates to join the council both on interim placements and full-time employment</li> </ul>		

## Appendix A - Corporate Risk Register September 2024

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Inability to deliver the requirements and commitments for the Growth Programme and its associated Projects.</p>			
<p><b>Causes</b></p>	<ul style="list-style-type: none"> <li>• Required Capital and Revenue funding not available to deliver the projects for Economic Recovery and Growth. This can be due to unavailability or timing of funds available.</li> <li>• External pressures affecting the construction sector, leading to challenges to project deliverability, affordability or timescales. This includes inflationary cost pressures; insufficient market capacity, contractor availability and contractor capacity; insufficient availability of materials and/or labour; delayed lead-in times for materials or services; rising prices for services, materials and equipment.</li> <li>• Insufficient internal staffing resource, hindering effective and timely delivery.</li> </ul>		
<p><b>Result</b></p>	<ul style="list-style-type: none"> <li>• Increased business failure</li> <li>• Reputational Damage especially on projects declared already in the public domain.</li> <li>• Increased unemployment</li> <li>• Financial and reputational risks to the Council</li> <li>• Impact on communities.</li> <li>• Loss of reputation</li> <li>• Impact of wider economic change on residents, particularly the most vulnerable</li> </ul>		
<p><b>Current treatment and controls</b></p>	<ul style="list-style-type: none"> <li>• Growth Programme and associated Governance and project controls.</li> <li>• Bid process and expertise applied to all existing and new funding opportunities.</li> <li>• Members approval and prioritisation of existing and new projects.</li> <li>• Constant and consistent evaluation and use of Growth Budget.</li> <li>• Opportunities in respect to Capital receipts from asset disposal.</li> </ul>		
<p><b>Risk owner</b></p>	<p>ED Regeneration, Economy &amp; Assets</p>		
<p><b>Proposed actions</b></p>	<ul style="list-style-type: none"> <li>• # Note - Immediate review of the Government White Paper on Levelling Up to ensure timely advantage taken of any funding opportunity.</li> <li>• Actively pursue all additional funding available in timely and at the earliest opportunity.</li> <li>• Create and make available Bid Team focused on and challenged with successful bids.</li> <li>• Establish Project Review forums and reporting mechanisms for early visibility of reporting of project progress and any emerging issues - on a project-specific and programme-wide basis.</li> <li>• Proactive external engagement with construction sector and key partners (e.g. LCR CA) to ensure visibility and understanding of risks to the sector and potential mitigants.</li> <li>• Develop and implement procurement strategy to ensure sustained competition, robustness of process and suitable partners for project delivery - Currently being actioned.</li> <li>• Further refine and strengthen capital project planning, delivery and governance measures</li> </ul>		